

JC10 REGU PCT/PTO 27 FEB 2002

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

42697.127WOI

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/019458

INTERNATIONAL APPLICATION NO.
PCT/US00/11415INTERNATIONAL FILING DATE
28 April 2000PRIORITY DATE CLAIMED
29 April 1999

TITLE OF INVENTION

Liquid Precursors for Formation of Materials Containing Alkali Metals

APPLICANT(S) FOR DO/EO/US

Gordon, Roy G. and Broomhall-Dillard, Randy N.R.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Copy of Notification of Transmittal of International Preliminary Examination Report

US 10/019458	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
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21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =	CALCULATIONS PTO USE ONLY																										
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$ 710																										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;">\$</th> </tr> <tr> <td>Total claims</td> <td style="text-align: center;">- 20 =</td> <td style="text-align: center;">7</td> <td style="text-align: center;">x \$18.00</td> <td style="text-align: center;">\$ 126</td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">- 3 =</td> <td style="text-align: center;">1</td> <td style="text-align: center;">x \$80.00</td> <td style="text-align: center;">\$ 84</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td style="text-align: center;">+ \$270.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td style="text-align: center;">\$ 1330</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	- 20 =	7	x \$18.00	\$ 126	Independent claims	- 3 =	1	x \$80.00	\$ 84	MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$270.00	TOTAL OF ABOVE CALCULATIONS =				\$ 1330	\$ 130	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$																							
Total claims	- 20 =	7	x \$18.00	\$ 126																							
Independent claims	- 3 =	1	x \$80.00	\$ 84																							
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$270.00																							
TOTAL OF ABOVE CALCULATIONS =				\$ 1330																							
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.	+																										
SUBTOTAL =	\$																										
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	\$																										
TOTAL NATIONAL FEE =	\$																										
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +	\$																										
TOTAL FEES ENCLOSED =	\$ 665																										
	Amount to be refunded:	\$																									
	charged:	\$																									

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 08-0219 in the amount of \$ 665 to cover the above fees. A duplicate copy of this sheet is enclosed.

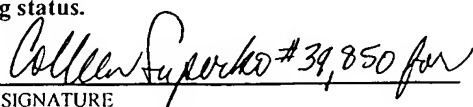
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-2019. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

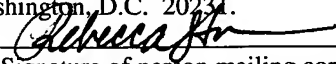
MaryRose Scozzafava
 Hale and Dorr, LLP
 60 State Street
 Boston, MA 02109


 SIGNATURE
 MaryRose Scozzafava
 NAME
 36,268
 REGISTRATION NUMBER



10/019458
JC13 Rec'd PCT/PTO 27 FEB 2002

PATENT
ATTORNEY DOCKET NO. 42697.127US2

Certificate of Mailing: Date of Deposit: February 8, 2002	
I hereby certify under 37 C.F.R. § 1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.	
Rebecca S. Tinio	
Printed name of person mailing correspondence	Signature of person mailing correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Gordon et al.	Art Unit	TBD
Serial No.:	TBD	Examiner:	TBD
Filed:	October 29, 2001	Customer No.:	23483
Title:	LIQUID PRECURSORS FOR FORMATION OF MATERIALS CONTAINING ALKALI METALS		

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF DUPLICATE SUBMISSION

This submission is a copy of correspondence that was mailed to the U.S. Patent and Trademark office by the undersigned attorney on October 29, 2001 as indicated on the certificate of mailing.

Applicants enclose the following copies as a duplicate of their October 29, 2001 filing:

1. Transmittal Letter to the United States Designation/Elected Offices (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371
2. Transmittal of International Preliminary Examination Report
3. International Application No. US00/11415 Published Under the Patent Cooperation Treaty (PCT) as WO 00/67300
4. Return Postcard
5. Declaration of Mailing by "Express Mail"

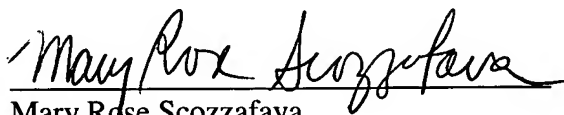
Applicants also attach copies of the Verification of Mailing by Express Mail and date stamped Express Mail label, which establish the date of mailing as October 29, 2001.

Applicants have received no indication that the original documents listed above were received by the U.S. Patent and Trademark Office. Pursuant to the USPTO Notice regarding the Processing of, and Requirements for, the Filing of Duplicate Applications and Papers in Patent Applications in view of USPS Mail Delays (a copy of which we also enclose), the PTO has waived the requirement that proof be furnished of the timely mailing of applications if these applications were mailed on or after October 13, 2001 and no later than December 1, 2001. This application falls within that date range and applicants request that the enclosed documents be accepted as proof of filing and that a serial number and filing date of October 29, 2001 be accorded to this application.

Applicants believe no fees are due; however, any fees which may be due should be charged to our Deposit Account no. 08-0219.

Respectfully submitted,

Date: February 8, 2002


Mary Rose Scozzafava
Reg. No. 36,268

Hale and Dorr LLP
60 State Street
Boston, Massachusetts 02109
Telephone: (617) 526-6000
Facsimile: (617) 526-5000



10/019458
JC13 Rec'd PCT/PTO 27 FEB 2002

Title: Liquid Precursors for Formation of Materials containing Alkali Metals

Intl Appl No. PCT/US00/11415 Applicant President and fellows of Harvard College

In the above matter, the following have been received by the US Patent and Trademark Office on the date stamped hereon.

- | | |
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| _____ pp. of claims (# of claims - _____) | <input type="checkbox"/> Response to Invitation to Correct Defects |
| _____ pp. of abstract | <input type="checkbox"/> Response to Invitation to Pay Additional Fees |
| _____ sheets of drawings; Figs. _____ | <input type="checkbox"/> Article 19 Amendment |
| <input type="checkbox"/> formal <input type="checkbox"/> informal | <input type="checkbox"/> Response to Written Opinion (Article 34) |
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| _____ pp. of specification | <input type="checkbox"/> Statement Under PCT Rule 13 ^{ter} (b) |
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| _____ sheets of drawings; Figs. _____ | <input type="checkbox"/> Check for \$ _____; check # _____ |
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☒ Other: Transmitted Letter to U.S. Designated/Elected Office
☐ Other: _____ 35 USC 371

Mailing Date: 10/29/01 Docket No. 42697-127 Atty/paralegal/secy: MS/ML



10/019458
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VERIFICATION OF MAILING BY EXPRESS MAIL

I, Shirley Haley, state that I have mailed the information identified on the attached Transmittal Letter to the U.S. Patent and Trademark Office at the South Station Post Office under **Express Mail Label No. EL540710625US** on October 29, 2001 at 2:18 p.m.

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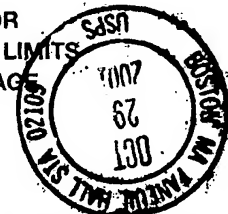
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FROM: (PLEASE PRINT) PHONE <u>617, 526-5306</u> PALE & DORR LLP 60 STATE ST 5TH FL BOSTON MA 02109-1410 Michael Deccese	TO: (PLEASE PRINT) PHONE () Box PCT Commissioner for Patents Washington, D. C. 20231
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
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Applicant: Harvard University

International Appln. No.: PCT/US01/PCTUS00/11415

International Filing Date: April 28, 2000

Title: Liquid Precursors for Formation of Materials
Containing Alkali metals

Attorney Docket Number: 42697.127

Box PCT
Commissioner for Patents
Washington, D.C. 20231

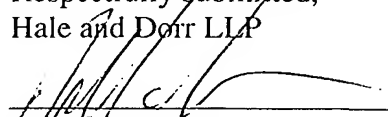
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On October 29, 2001, I deposited a package with the United States Postal Service bearing the label number EL540710625US using its Express Mail Post Office to Addressee service. Attached is a true copy of the Express Mail label showing the date of deposit. Included in the envelope is:

1. Transmittal Letter to the United States Designation/Elected Offices (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371
2. A copy of the notification of Transmittal of International Preliminary Examinations Report.
3. International Application Published Under the Patent Cooperation Treaty (PCT).
4. Post Card

In connection with the foregoing matter, please charge any fees which may be due, or credit any overpayment to PTO Deposit Account number 08-0219.

Respectfully submitted,
Hale and Dorr LLP


Michael Leccese
Patent Paralegal

60 State Street
Boston, MA 02109
Tel: (617) 526-6192